

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. 32307-201091

First Inventor Shiro SUYAMA

Title Optical Device And Three-Dimensional Display Device

Express Mail Label No.

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages **166**]  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross References to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C.113) [Total Sheets **67**]
5. Oath or Declaration [Total Pages **2**]  
a. ☐ Newly executed (original or copy)  
b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76
- 6a. ☒ Priority is claimed under the provisions of 35 U.S.C. § 119  
Appln No. 006,011/1996 filed in Japan on January 17, 1996  
Appln No. 047,654/1996 filed in Japan on March 5, 1996  
Appln No. 110,632/1996 filed in Japan on May 1, 1996  
Appln No. 182,222/1996 filed in Japan on July 11, 1996  
Appln No. 202,244/1996 filed in Japan on July 31, 1996  
Appln No. 229,717/1996 filed in Japan on August 30, 1996

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATIONS PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of  
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO-1449 Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☒ Other: A marked-up copy of the Specification, and a  
Substitute Specification (94 sheets)

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP)of prior application No: 10/011,638Prior application information: Examiner Amr A. AwadGroup / Art Unit: 2675For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied  
under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**20. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label**26694**

PATENT TRADEMARK OFFICE

or ☐ Correspondence address belowName **VENABLE LLP**Address **P.O. Box 34385**City **Washington**

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**202-344-8300**

Name (Print/Type)

**Michael A. Sartori, Ph.D**

Registration No. (Attorney/Agent)

**41,289**

Signature



Date

**February 23, 2004**

13281 U.S. PTO  
022304

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2004

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 770.00

## Complete if Known

Application Number	To Be Assigned
Filing Date	February 23, 2004
First Named Inventor	Shiro SUYAMA
Examiner Name	To Be Assigned
Group / Art Unit	To Be Assigned
Attorney Docket No.	32307-201091

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit  
Account  
Number  
Deposit  
Account  
Name

22-0261

VENABLE ATTORNEYS AT LAW

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments  
☐ Charge any additional fee(s) under 1.16 or 1.17 during pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	770.00
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1)

(\$ 770.00

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
9	-20 ** = 0	18	0
1	-3 ** = 0	84	0
0		280	0

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$)0

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing request for ex parte reexam	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)0

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Michael A. Sartori, Ph.D.	Registration No. Attorney/Agent)	41,289	Telephone	(202) 344-4000
Signature				Date	February 23, 2004

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.  
SEND TO: Commissioner for Patents, Washington, DC 20231.

VENABLE  
ATTORNEYS AT LAW

PC Docs No. 523848

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Shiro SUYAM et al.

**Divisional** of Appl. No.: 10/011,638

Confirmation No.: To Be Assigned

Filed: February 23, 2004

For: Optical Device And Three-  
Dimensional Display Device

Art Unit: To Be Assigned

Examiner: To Be Assigned

Atty. Docket No.: 32307-201091

Customer No.: **26694**

**Substitute Specification**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA. 22313-1450

Sir:

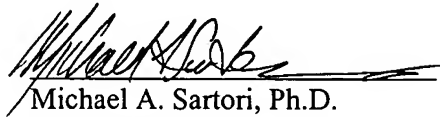
Attached is a Substitute Specification (including the abstract, but not the claims) that corrects inadvertent informalities in the application as-filed. Please enter this Substitute Specification in lieu of the application as-filed (that is, the copy of parent application 10/011,638, filed on December 11, 2001, that is being submitted concurrently).

Pursuant to 37 CFR 1.125, the undersigned attorney states that he believes that the attached Substitute Specification contains no new matter. A copy of the specification as-filed, marked up to show the changes that have been included in the Substitute Specification, is attached. The Examiner is urged to review the marked-up copy to confirm that new matter has not been added.

Although the attached Substitute Specification includes paragraph numbering in accordance with 37 CFR 1.52(b)(6), the paragraph numbers do not appear in the marked-up specification.

Respectfully submitted,

Date: February 23, 2004



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